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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/845,611	04/30/2001	Peter Kassan	P/1318-129	2623

2352 7590 12/31/2003

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NEW YORK, NY 100368403

EXAMINER

BACKER, FIRMIN

ART UNIT	PAPER NUMBER
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3621

DATE MAILED: 12/31/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Applicati n N .

09/845,611

Applicant(s)

KASSAN ET AL.

Examiner

Firmin Backer

Art Unit

3621

-- The MAILING DATE of this c mmunication appears on th c ver sheet with the correspondence address--

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 30 April 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. §§ 119 and 120

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 13) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.  
a) ☐ The translation of the foreign language provisional application has been received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) \_\_\_\_\_. 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

This is in response to a letter for patent filed on April 30<sup>th</sup>, 2001 in which claims 1-22 are presented for examination. Claims 1-22 are pending in the letter.

### *Claim Objections*

1. Claim 1 is objected to because of the following informalities: Applicant discloses “the form” in paragraph 2 line 1. Applicant is advised to replace “the form with “form” in order to overcome Examiner’s objection.

### *Claim Rejections - 35 USC § 102*

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1-22 are rejected under 35 U.S.C. 102(e) as being anticipated by Frison et al (U.S. Patent No. 6,049,789).

4. As per claim 1, Frison et al teach a job accounting and chargeback system (*billing system, 308*) for software products (*applications subject to licensing, 210*), the system comprising: a

Art Unit: 3621

manager (*license management system, 300*) in the form of a software product use monitoring subsystem that handles requests for and grants rights to use software products and which develops software product use information; a job accounting and chargeback (JACS) subsystem that develops chargeback data that is referenced to charged entities that are charged for use of software or computer facilities; and a job accounting and software use intercoupling facility that intercouple the software product use information with the chargeback data in a manner that provides software-product chargeback information (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

5. As per claims 2, 5, 6, 13 and 14, Frison et al teach a system further including a process-data collector that develops process-related data and the job accounting and chargeback subsystem deriving identities of the charged entities from the process-related data comprises process detail records and links to event log records, including a process-to-product vendor link table (*see fig 1, 2, 3-5*).

6. As per claim 3, Frison et al teach a system in which the software-product chargeback information comprises cost information for the use of the software products and the manager is a license manager (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

7. As per claim 4, Frison et al teach a system in which the software-product chargeback information is referenced to software product vendors (*see fig 1, 2, 3-5*).

Art Unit: 3621

8. As per claims 5, 7-10, Frison et al teach a system in which the software-product chargeback information comprises process-product-link records and each such record comprises at least two fields include a key field pointing to a process detail record and product key field comprises a vendor id or a product id, comprising a third field, which is a link to a particular licensing session (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

9. As per claim 11, Frison et al teach a system further including a plurality of software clients operable with corresponding client exit routines, components of the job accounting and chargeback subsystem being present in the client exit routines (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

10. As per claim 12, Frison et al teach a system in which the process-related data comprises system management facility (SMF) records (*see fig 1, 2, 3-5*).

11. As per claim 15, Frison et al teach a system in which the intercoupling facility correlates the software-product chargeback information to specific product licensing sessions (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

12. As per claim 16, Frison et al teach a system including a facility that develops the software-product chargeback information over selected time periods (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

Art Unit: 3621

13. As per claim 17, Frison et al teach a system including a facility that compares chargeback data against budgeted charges relative to specific software products (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

14. As per claims 18 and 19, Frison et al teach a system including a reporter that generates viewable reports including a data sorter, displaying selected portions of the software-product chargeback information (*see fig 1, 2, 3-5*).

15. As per claim 20, Frison et al teach a system including a facility that allocates to specific products a total cost, which cost is used by the job accounting and chargeback subsystem to develop the chargeback data (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

16. As per claim 21, Frison et al teach a system including a facility that measures a parameter indicative of the extent of use of different ones of the software products and the parameter being selected from the parameter group consisting of: CPU time; elapsed time; number of queries to a database; number of records retrieved; and use peripherals related to the use of software products (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

17. As per claim 22, Frison et al teach a system in which the software products act in the system as software clients and the manager is a license manager that acts in the system as a server and including a plurality of license manager agents that execute client exit routines in response to being presented with license requests from the software clients, and further including

Art Unit: 3621

a JACS client exit routine that interacts with the client exit routine of the license manager agents, in a manner such that the JACS client exit routine obtains the process-related data which is then returned to the client exit routine (*see abstract, fig 1, 2, 7, column 1 lines 48-61, 2 lines 50-4 line 46*).

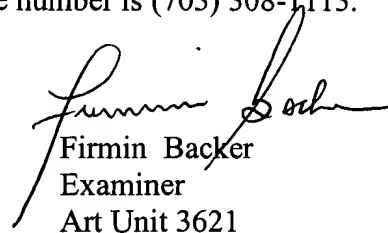
### ***Conclusion***

18. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. (*see form 892*).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Firmin Backer whose telephone number is (703) 305-0624. The examiner can normally be reached on Mon-Thu 9:00 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on (703) 305-9768. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

  
Firmin Backer  
Examiner  
Art Unit 3621

December 18, 2003